



APPLICATION FOR OUTSIDE EMPLOYMENT, CONSULTING OR BUSINESS ACTIVITY

1. All EMPLOYEES who wish to engage in an outside employment, consulting or business activity (herein referred to as outside activity) must complete a separate form for each activity. Answer all questions as thoroughly as possible. Include all relevant information to facilitate the review process. **Type in and print. Use additional pages as necessary.**

a. Employee Name _____ Org. Number _____ Extension _____ Mail Stop _____

b. Current JPL Responsibilities _____

c. Supervisor Name _____ Org. Number _____ Extension _____ Mail Stop _____

d. Provide a brief but specific description of the proposed outside activity

e. List the beginning and ending dates of the proposed outside activity _____

f. Approximately how many hours per week will you be working on the outside activity? _____

g. When will the outside activity be conducted (e.g., evenings, weekends, vacation)? _____

h. Identify the outside organization you propose to work for. Name: _____

Address: _____

i. Are you, a member of your immediate family, or a close personal friend, an officer of this outside organization? Yes ☐ No ☐ If yes, please provide the following information:

Name _____ Relation _____ Position _____

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j. Do you, a member of your immediate family, or a close personal friend have, or expect to have, any financial interest in this outside organization, or do any of you plan to have a financial interest in the organization? Yes ☐ No ☐ If yes, please provide the following information:

Name _____ Relation _____ Percent Interest _____

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k. Does the outside organization have any active or anticipated work with JPL? Yes ☐ No ☐ If yes, please provide the following information:

Contract # _____ Your involvement in the work as a JPL employee _____

Your involvement in the work as an employee/consultant of the outside organization _____

l. If you will be engaged in your own business, will any other JPL employees/contractor personnel be working in the business? Yes ☐ No ☐

If yes, please provide the following information:

Name _____ Badge No. _____ Name _____ Badge No. _____

Name _____ Badge No. _____ Name _____ Badge No. _____

m. Are you engaged in any other outside activities? Yes ☐ No ☐ If yes, please provide the following information:

Activity _____ Hrs. per week _____ Activity _____ Hrs. per week _____

Activity _____ Hrs. per week _____ Activity _____ Hrs. per week _____

2. Only EMPLOYEES seeking approval to license Caltech intellectual property, or to work for a company that is licensing Caltech intellectual property, must complete this part of the form. Such employees must set up a meeting with the Ethics Office to discuss their outside activity.

a. List the New Technology Report (NTR) number and title for the technology you want to license

b. List the NTR innovators and whether they will be participating in the outside activity

c. Will you receive an ownership interest, including stock options, in the company that commercializes the technology? Yes ☐ No ☐ If yes, how much? ____% \$_____

d. Is the technology you want to license still under development at JPL? _____

e. Are there any proposals to fund further development of this technology? Yes ☐ No ☐ If yes, explain

f. How does your current JPL work relate to the technology to be licensed?

3. I understand that the following conditions apply to approval of the outside activity described above:

a. I may not use my JPL position in a manner that is motivated by the desire for improper private gain for myself or persons with whom I have family, business or financial ties. I must also avoid actions that give the appearance of such intent.

b. I will obtain review and approval of any substantive change in the nature of my outside activity or any JPL assignment that presents a potential for conflict of interest as described in the JPL policy titled **Outside Employment, Consulting or Business Activity**.

c. I may not engage in any outside activity on JPL work time or use any JPL equipment, facilities, services or supplies (including computers, software, reproduction machines, telephones, mail service, stationery, etc.) in connection with my proposed outside activity.

d. I may not use the name, seal or letterhead of the California Institute of Technology, the Jet Propulsion Laboratory or any other Institute or Laboratory facility or organization in the conduct of my proposed outside activity.

e. I am required to promptly provide written notice to the JPL Intellectual Property Group of any inventions and new technical know-how originated while performing my outside activity if such inventions and know-how may be within the scope of my JPL employment obligations. I understand that these obligations include both current work assignments and possible future assignments. At the request of the Intellectual Property Group I am required to provide explanatory information on such inventions and know-how to the Group so they can determine whether the disclosed invention/know-how is within the scope of my JPL employment and, as such, must be reported to the Government.

f. I will not use or disclose Caltech/JPL intellectual property without first obtaining the written approval of the Caltech Intellectual Property Office. (Intellectual property includes unreported items of new technology, whether or not patentable; new technology reports; Tech Briefs; inventions; software; Caltech or NASA patent applications on JPL inventions; U.S. patents on JPL inventions which are owned by Caltech or NASA; and JPL unpublished technical know-how which might be in the public domain.)

g. I will not represent any organization with which I have an outside business interest to JPL, Caltech or NASA, nor will I represent JPL to such organization.

h. Neither I nor any organization which is substantially owned or controlled by me, shall enter into any contracts with JPL unless I have been granted an advance waiver signed by the Manager, Acquisition Division, and the Associate Director/Chief Financial Officer. (See the JPL policy titled **Outside Employment, Consulting or Business Activity**.)

i. I will not compete with JPL for funding from any potential sponsor, nor will I assist any organization with which I have an outside business relationship compete with JPL for such funding.

j. If I am a principal in the business for which I am submitting this application, I must disclose in writing to the Ethics Office any new clients and obtain approval from the Ethics Office before I begin to do work for that client.

k. If my outside activity includes the use of written material developed by or derived from JPL or Caltech, or describes, explains, evaluates, represents or otherwise addresses any past, present, or proposed work by JPL or Caltech, such written material must be reviewed before publication or use by the JPL Document Review Services Group. Attribution for JPL material used should be as follows: Provided through the courtesy of the Jet Propulsion Laboratory, California Institute of Technology, or where space is limited: Courtesy JPL/Caltech.

l. If I engage in any external business activities, either outside the U.S. or with a foreign national, I may be required to acquire an export license and ensure proper compliance with federal laws and regulations governing the export of technical services and technology to foreign entities. If an export license is required, it is my responsibility to acquire one prior to starting any relationship outside the U.S. or with a foreign national. (Contact both of the following organization to determine whether your outside business activities are subject to federal export laws and regulations: U.S. Department of State [<http://www/pmdtc.org/>] and the U.S. Department of Commerce [<http://www.bxa.doc.gov/>].)

m. I have read and understand the following JPL policies which are available on DMIE: **Ethical Business Conduct; Conflict of Interest in Procurements; Conflict of Interest; Outside Employment, Consulting and Business Activities; and use of JPL and Sponsor Resources**.

n. If I am licensing Caltech intellectual property, I am aware that I may remain in the employ of Caltech/JPL only so long as I have no involvement in any further government funded development of this technology.

o. If I am licensing Caltech intellectual property, I agree to promptly notify the Ethics Office when I become aware of any actual or proposed government funded JPL work involving this technology.

To the best of my knowledge the above information relating to my outside activity is accurate and complete. I agree to abide by the above conditions in performing my outside activity.

Signature of Employee

Date

4. The SUPERVISOR of the employee seeking approval for an outside activity must answer all questions listed below, recommend approval as appropriate, and forward the completed application through the section and division or project manager to the Ethics Office.

a. How does the proposed outside activity relate to current/future work assignments of the employee? Is there an overlap between the proposed work and the JPL work?

b. Will the outside activity enhance the value of the employee to JPL

c. Will the outside activity relate to or be used on any ongoing or anticipated JPL, NASA, or other sponsor programs?

d. Should the Ethics Office contact the section manger quarterly to review the employee's current and projected JPL work assignments as they relate to the employee s outside activities?

YES ___ NO ___

5. CONCURRENCE

I concur that, to the best of my knowledge, this outside activity will not constitute a conflict of interest, nor will it interfere with the employee s required time at and commitment to JPL. I have reviewed and discussed the policy titled Outside employment, consulting or business activity with the employee and I recommend that this application be approved, subject to the conditions, limitations and restrictions listed here:

Signature of Supervisor

Date

Signature of Section Manager

Date

Signature of Division/Project Manager

Date

6. APPROVAL

Signature of Ethics Advisor

Date